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| <p>Substitute for form 1449B/PTO</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p>(Use as many sheets as necessary)</p> |   |    |   | <b>Complete if Known</b>    |                         |
|   |   |    |   | <b>Application Number</b>   | Not Yet Assigned        |
|   |   |    |   | <b>Filing Date</b>          | Simultaneously Herewith |
|   |   |    |   | <b>First Named Inventor</b> | Michael de Rooij        |
|   |   |    |   | <b>Group Art Unit</b>       | Not Yet Assigned        |
|   |   |    |   | <b>Examiner Name</b>        | Not Yet Assigned        |
| Sheet   | 2 | of | 2 | Attorney Docket Number      | Michael de Rooij        |

**NON-PATENT LITERATURE DOCUMENTS**

| Examiner Initials | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|-------------------|-----------------------|---|----------------|
|                   | 1                     | <i>6.8 Active Filters (AFs), Power electronic control in electrical systems, pp. 253-259</i>  |                |
|                   | 2                     | <i>TOLIYAT, HAMID A. et al., Stator Flux Oriented Control of an Integrated Alternator/Active Filter for Wind Power Applications, IEEE, copyright 2003, pp. 461-467</i>  |                |
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|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached. This collection of information is required by 37CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael A. de Rooij et al. : Group Art Unit:  
Serial No.: Not yet assigned : Examiner:  
Filed: Herewith  
For: PHOTOVOLTAIC POWER CONVERTER  
SYSTEM WITH A CONTROLLER CONFIGURED  
TO ACTIVELY COMPENSATE LOAD HARMONICS

## INFORMATION DISCLOSURE STATEMENT

1 Pursuant to 37 CFR 1.97 (b)  
[within 3 months of national, non-CPA filing or prior to 1<sup>st</sup> Office Action] *no charge*

2 Certification Pursuant to 37 CFR 1.97(c)(1)  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*

3 Fee Payment Pursuant to 37 CFR 1.97(c)(2)  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*

4 Certification & Fee Payment Pursuant to 37 CFR 1.97(d)  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION

Assistant Commissioner for Patents  
Alexandria, VA 22313

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313, on the date indicated below.

|                    |
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| Date of Deposit    |
| Type or Print Name |
| Signature          |

This paper is submitted in accordance with:

6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1<sup>st</sup> Office Action]

7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

8 The required Certification made in item 11 below; or

9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.

10 37 CFR 1.97(d): [on or before issue fee payment]; and

a) The required Certification is stated in item 11 below; and

b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

11 Certification

12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

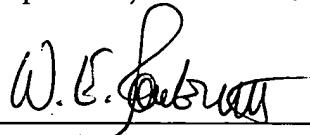
13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three (3) months prior to the filing date of this Statement.

14 Payment of all applicable fees:

15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868.

An original and two (2) copies of this document are enclosed.

Respectfully submitted,



Attorney - William E. Powell, III  
Registration No. 39,803  
Phone: (518) 387-4530  
or (518) 387-7122

December 10, 2003

Date

General Electric Company  
Patent Docket Rm 4A59  
P.O. Box 8, Bldg. K-1 - Ross  
Schenectady, New York 12301  
Customer Number: 006147

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| <p>Substitute for form 1449A/PTO</p> <p><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b></p> <p>(Use as many sheets as necessary)</p> |   |    |   | <i>Complete if Known</i> |                         |
|   |   |    |   | Application Number       | Not Yet Assigned        |
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|   |   |    |   | Group Art Unit           | Not Yet Assigned        |
|   |   |    |   | Examiner Name            | Not Yet Assigned        |
| Sheet   | 1 | of | 2 | Attorney Docket Number   | 132853                  |

| FOREIGN PATENT DOCUMENTS |                       |                           |                                   |                                |  |   |
|--------------------------|-----------------------|---------------------------|-----------------------------------|--------------------------------|--|---|
| Examiner Initials        | Cite No. <sup>1</sup> | Foreign Patent Document   |                                   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear |
|                          |                       | Country Code <sup>3</sup> | Number <sup>4</sup><br>(if known) |                                |  |   |
|                          |                       |                           |                                   |                                |  |   |
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| Examiner<br>Signature |  | Date<br>Considered |  |
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